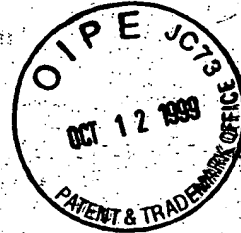




APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
--------------------	---------------------	-----------------------	---------------------------

09/360,575 07/26/99 VANSTONE

0212/0812



2189-19

LAWRENCE A. MAXHAM
BAKER MAXHAM JESTER & MEADOR
750 B STREET
SUITE 3100
SAN DIEGO CA 92101

2876

DATE MAILED:

08/12/99

NOTICE TO FILE MISSING PARTS OF APPLICATION Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a

☐ small entity (statement filed) ☒ non-small entity is \$ 890.00

☒ 1. The statutory basic filing fee is:

- ☒ missing.
☐ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$ _____ for _____ total claims over 20.
\$ _____ for _____ independent claims over 3.
\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

10/24/1999 CVORACHA 00000070 09360575 760.00 OP 130.00 OP
01 CC:101 02 CC:105

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

"PATENTS"

FILE COPY

In re Application of:

SCOTT A. VANSTONE

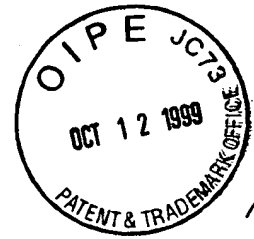
SERIAL NO.: 09/360,575

FILED: 26 July 1999

FOR: TRANSACTION VERIFICATION
PROTOCOL FOR SMART CARDS

Group Art Unit: 2876

Examiner: Unknown



Customer Correction Branch
Application Processing Division
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

REQUEST FOR CORRECTED FILING RECEIPT

It has come to the attention of the undersigned attorney that the originally issued Filing Receipt is incorrect.

Please change "BAKER, MAXHAM, JESTER & MEADOR" to "BAKER & MAXHAM" in compliance with all of the papers filed with the application.

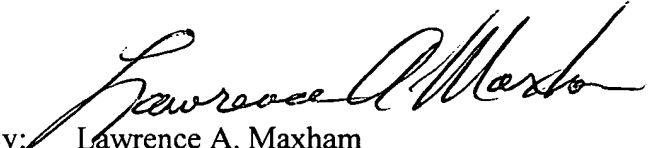
Please change "Tot Cl 7" to - - Tot Cl 8 - -.

Please correct the records in the Patent and Trademark Office and issue a corrected Filing Receipt.

Respectfully submitted,

SCOTT A. VANSTONE

Dated: ___ October 1999

By: 
Lawrence A. Maxham
Attorney for Applicant(s)
Registration No. 24,483

BAKER & MAXHAM
Symphony Towers
750 "B" Street, Suite 3100
San Diego, California 92101
Telephone: (619) 233-9004

SERIAL NUMBER 09/360,575	FILING DATE 07/26/99	CLASS 235	GROUP ART UNIT 2876	ATTORNEY DOCKET NO. 2189-19
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APPLICANT	SCOTT A. VANSTONE, WATERLOO, CANADA.			
	CONTINUING DOMESTIC DATA*** VERIFIED 			
	371 (NAT'L STAGE) DATA*** VERIFIED 			
	FOREIGN APPLICATIONS*** VERIFIED UNITED KINGDOM 9681924.5 01/31/95 			

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 08/12/99

Foreign Priority claimed 35 USC 119 (a-d) conditions met	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance	STATE OR COUNTRY CAX	SHEETS DRAWING 1	TOTAL CLAIMS 7	INDEPENDENT CLAIMS 2
Verified and Acknowledged <u>C.T.A.</u> Examiner's Initials Initials					

ADDRESS	LAWRENCE A MAXHAM BAKER MAXHAM JESTER & MEADOR 750 B STREET SUITE 3100 SAN DIEGO CA 92101	
	TITLE	

FILING FEE RECEIVED \$890	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT NO. _____ for the following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit
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lease type a plus (+) sign inside this box →



PTO/SB/21 REV 1 (12/97)

Approved for use through 09/30/2000. omb 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM <small>(to be used for all correspondence after initial filing)</small>		Application Number	09/360,575
		Filing Date	26 July 1999
		First Named Inventor	SCOTT A. VANSTONE
		Group Art Unit	2876
		Examiner Name	Unknown
Total Number of Pages in This Submission	2	Attorney Docket Number	2189-19 LAM

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Response (19 pages) <input type="checkbox"/> After Final <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts Under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Two (2) Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Checklist and Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interference <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Reply, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): 1. Request for Corrected Filing Receipt 2. Return postcard.
Remarks:		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm Or Individual Name	LAWRENCE A. MAXHAM
Signature	<i>Lawrence A. Maxham</i>
Date	7 October 1999

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail addressed to: Box Issue Fee, Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 7 October 1999			
Typed or printed name	LAWRENCE A. MAXHAM		
Signature	<i>Lawrence A. Maxham</i>	Date	7 October 1999

lease type a plus (+) sign inside this box →



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Remarks:		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm Or Individual Name	LAWRENCE A. MAXHAM
Signature	
Date	7 October 1999

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail addressed to: Box Issue Fee, Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 7 October 1999			
Typed or printed name	LAWRENCE A. MAXHAM		
Signature		Date	7 October 1999



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<h2 style="text-align: center;">FEE TRANSMITTAL</h2> <p style="text-align: center;">Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments must be supported by a small entity statement. Otherwise large entity fees must be paid. See Forms PTO 89-09-1. See 37 C.F.R. §§ 1.27 and 1.28</p>		Complete If Known	
		Application Number	09/360,575
		Filing Date	26 July 1999
		First Named Inventor	Scott A. Vanstone
		Group / Art Unit	2876
		Examiner Name	Unknown
		Attorney Docket No.	2189-19 LAM
TOTAL AMOUNT OF PAYMENT		(\$ 896	

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																									
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:</p> <p>Deposit Account Number: 020460</p> <p>Deposit Account Name: Baker & Maxham</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance. CFR 1.311(b)</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>105 130</td> <td>205 65</td> <td>Surcharge - late filing fee or oath</td> <td>130</td> </tr> <tr> <td>127 50</td> <td>227 25</td> <td>Surcharge - late provisional filing or cover sheet</td> <td></td> </tr> <tr> <td>139 130</td> <td>139 130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>147 2,520</td> <td>147 2,520</td> <td>For filing a request for reexamination</td> <td></td> </tr> <tr> <td>112 920*</td> <td>112 920*</td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113 1,840*</td> <td>113 1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115 110</td> <td>215 55</td> <td>Extension for response within first month</td> <td></td> </tr> <tr> <td>116 380</td> <td>216 190</td> <td>Extension for response within second month</td> <td></td> </tr> <tr> <td>117 870</td> <td>217 435</td> <td>Extension for response within third month</td> <td></td> </tr> <tr> <td>118 1,360</td> <td>218 680</td> <td>Extension for response within fourth month</td> <td></td> </tr> <tr> <td>128 1,850</td> <td>228 925</td> <td>Extension for response within fifth month</td> <td></td> </tr> <tr> <td>119 300</td> <td>219 150</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>120 300</td> <td>220 150</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121 260</td> <td>221 130</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>138 1,510</td> <td>138 1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140 110</td> <td>240 55</td> <td>Petition to revive unavoidably abandoned application</td> <td></td> </tr> <tr> <td>141 1,210</td> <td>241 605</td> <td>Petition to revive unintentionally abandoned application</td> <td></td> </tr> <tr> <td>142 1,210</td> <td>242 605</td> <td>Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>143 430</td> <td>243 215</td> <td>Design issue fee</td> <td></td> </tr> <tr> <td>144 580</td> <td>244 290</td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td>122 130</td> <td>122 130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123 50</td> <td>123 50</td> <td>Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126 240</td> <td>126 240</td> <td>Submission of Information Disclosure Stmt</td> <td></td> </tr> <tr> <td>581 40</td> <td>581 40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>146 760</td> <td>246 380</td> <td>Filing a submission after final rejection (37 CFR 1.129(a))</td> <td></td> </tr> <tr> <td>149 760</td> <td>249 380</td> <td>For each additional invention to be examined (37 CFR 1.129(b))</td> <td></td> </tr> <tr> <td colspan="2">Other fee (specify) _____</td> <td colspan="2"></td> </tr> <tr> <td colspan="2">Other fee (specify) _____</td> <td colspan="2"></td> </tr> <tr> <td colspan="2">SUBTOTAL (3)</td> <td colspan="2">(\$ 130</td> </tr> </tbody> </table>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath	130	127 50	227 25	Surcharge - late provisional filing or cover sheet		139 130	139 130	Non-English specification		147 2,520	147 2,520	For filing a request for reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for response within first month		116 380	216 190	Extension for response within second month		117 870	217 435	Extension for response within third month		118 1,360	218 680	Extension for response within fourth month		128 1,850	228 925	Extension for response within fifth month		119 300	219 150	Notice of Appeal		120 300	220 150	Filing a brief in support of an appeal		121 260	221 130	Request for oral hearing		138 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive unavoidably abandoned application		141 1,210	241 605	Petition to revive unintentionally abandoned application		142 1,210	242 605	Utility issue fee (or reissue)		143 430	243 215	Design issue fee		144 580	244 290	Plant issue fee		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Petitions related to provisional applications		126 240	126 240	Submission of Information Disclosure Stmt		581 40	581 40	Recording each patent assignment per property (times number of properties)		146 760	246 380	Filing a submission after final rejection (37 CFR 1.129(a))		149 760	249 380	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify) _____				Other fee (specify) _____				SUBTOTAL (3)		(\$ 130	
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SUBMITTED BY		COMPLETE (if applicable)	
Typed or Printed Name	LAWRENCE A. MAXHAM	Reg. Number	24,483
Signature	<i>Lawrence A. Maxham</i>	Date	10/07/99
		Deposit Account User ID	

"PATENTS"

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

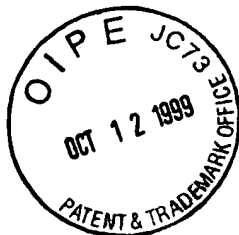
In re Application of:

SCOTT A. VANSTONE

SERIAL NO.: 09/360,575

FILED: 26 July 1999

FOR: TRANSACTION VERIFICATION
PROTOCOL FOR SMART CARDS



Group Art Unit: 2876

Examiner: Unknown

Box MISSING PARTS
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION -
FILING DATE GRANTED**

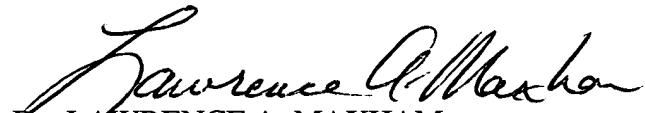
This document is submitted in response to the NOTICE TO FILE MISSING PARTS OF APPLICATION, dated 12 August 1999.

Transmitted herewith is a check in the amount of \$890 for filing fee and surcharge as per attached Notice, Form PTO-1533. The Declaration and Power of Attorney referred to in this Notice was forwarded with the original Application on 26 July 1999 and has been addressed, by telephone, with Ms. Barnes of the Initial Patent Examination Division on 4 October 1999.

The Commissioner is hereby authorized to charge any fees that arise in connection with this filing which are not covered by the money enclosed, or credit any overpayment, to Deposit Account No. 02-0460. A copy of this letter is enclosed.

Respectfully submitted,

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